

1 **IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

2 Serial No. .... 10/783,702  
3 Filing Date ..... 2/19/2004  
4 Confirmation No. .... 5595  
5 Inventorship ..... Joseph J. Brychell, III  
Applicant ..... Microsoft Corporation  
Attorney's Docket No. .... MS1-1612US  
6 Title: Managing XML Documents Containing Hierarchical Database Information

7 **INFORMATION DISCLOSURE STATEMENT**

8 *References — See Attached Form PTO-1449*

9 **REMARKS**

10 The citations listed, copies attached, are submitted in compliance with the  
11 duty of disclosure defined in 37 CFR §1.56. The Examiner is requested to make  
12 these citations of official record in this application.

13  
14 Respectfully Submitted,

15 Date: 2 Feb 06

16 By: Michael K. Colby  
17 Michael K. Colby  
18 Reg. No. 45816  
19  
20  
21  
22  
23  
24  
25

Substitute for form 1449/PTO

## Complete if Known

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 3

Application Number	10/783,702
Filing Date	2/19/2004
First Named Inventor	Joseph J. Brycheil,
Art Unit	
Examiner Name	
Attorney Docket Number	MS1 1612US

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (If known)			
	US-	20030051243	3/13/2003	Lemmons, Thomas R.; et al.	
	US-	20030120671	6/26/2003	Kim, Hong J.; et al.	
	US-	20030140132	7/24/2003	Champagne, Yves-Andre; et al.	
	US-	20030204814	10/30/2003	Elo, Sara; et al.	
	US-	20030225829	12/4/2003	Pena, Armando; et al.	
	US-	20030237046	12/25/2003	Parker, Charles W.; et al.	
	US-	20040117769	6/17/2004	Lauzon, David Martin; et al.	
	US-	20040205473	10/14/2004	Fisher, Gwyn; et al.	
	US-	20050102370	5/12/2005	Lin, Yun; et al.	
	US-	4,847,749	7/11/1989	Collins, et al.	
	US-	5,218,872	6/8/1993	Morgan, et al.	
	US-	5,801,701	9/1/1998	Koppolu, et al.	
	US-	5,929,858	7/27/1999	Shibata, et al.	
	US-	5,956,481	9/21/1999	Walsh, et al.	
	US-	5,982,370	11/9/1999	Kamper	
	US-	5882372	1/19/1999	Morris, et al.	
	US-	6,144,969	11/7/2000	Inokuchi, et al.	
	US-	6,192,367	2/20/2001	Hawley, et al.	
	US-	6,476,828	11/5/2002	Burkett, et al.	

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No.	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear
		Country Code <sup>2</sup> Number <sup>2</sup> Kind Code <sup>2</sup> (If known)			
		JP2000132436	5/12/2000	HITACHI LTD	
		JP2002183852	6/28/2002	NIPPON YUNISHISU KK	
		JP2003173286	6/20/2003	SHARP KK	
		JP401173140	7/7/1989	Fuji Electric Co LTD	
		JP408014105	1/21/1994	Fujitsu LTD	
		JP4225466	8/14/1992	HITACHI LTD	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with oral communication to applicant. <sup>2</sup> Applicant's unique citation designation number (optional). <sup>3</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. <sup>4</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>5</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>6</sup> Kind of document by the appropriate symbol as indicated on the document under WIPO Standard ST.16 if possible. <sup>7</sup> Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application forms to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-6199 (1-800-786-6199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

## Complete if Known

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2

of 3

Application Number	10/783,702
Filing Date	2/19/2004
First Named Inventor	Joseph J. Brychall,
Art Unit	
Examiner Name	
Attorney Docket Number	MS1 1612US

Examiner/Initials*	Cite No.	U.S. PATENT DOCUMENTS			Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	
		Number-Kind Code* (if known)			
		US-6,487,566	11/26/2002	Sundareshan	
		US-6,549,922	4/15/2003	Srivastava, et al.	
		US-6,596,219	7/22/2003	Lau	
		US-6,629,109	9/30/2003	Koshisaka	
		US-6,654,737	11/25/2003	Nunez	
		US-6,658,417	12/2/2003	Stakutis, et al.	
		US-6,760,723	7/6/2004	Oshinsky, et al.	
		US-6,874,130	3/29/2005	Baweja, et al.	
		US-6,901,403	5/31/2005	Bata, et al.	
		US-6,968,505	11/22/2005	Stoll, et al.	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

Examiner/Initials*	Cite No.	FOREIGN PATENT DOCUMENTS			Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>1</sup>
		Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document		
		Country Code* Number* Kind Code* (if known)				
		JP5314152	11/26/1993	CANON KK		
		JP6139241	5/20/1994	SHARP KK		
		JP6180697	6/28/1994	BROTHER IND LTD		
		JP6180698	6/28/1994	BROTHER IND LTD		
		JP63065960	4/16/1988	CASIO COMPUTER CO L		

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* Applicant's unique citation designation number (optional). \* See Kinds Codes of USPTO Patent Documents at 1909.0850.002 or MPEP 901.04. \* Enter Office that issued the document, by the two-letter code (WIPO Standard ST 3). \* For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \* Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST 16 if possible. \* Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.96. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for form 1449-PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

## **Complete if Known**

Application Number	10/783,702
Filing Date	2/19/2004
First Named Inventor	Joseph J. Brychell,
Art Unit	
Examiner Name	
Attorney Docket Number	MS1 1612US

Sheet 3 of 3

## **NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Allova, "User Reference manual Version 4.4, XML Spy suite 4.4," Allova Ges.m.b.H & Allova, Inc., May 24, 2002, pages cover, copyright page, 1-565.	
		Allova et al. XML Spy, XML Integrated Development Environments, Allova Inc., 2002, pages 1-18.	
		Ben-Natan, Provisional Application No. 60/293,081, filed 5/9/2000, entitled "Internet platform for creating and supporting communities"	
		Ixis Soft, "Streamlining content creation, retrieval, and publishing on the Web using TEXTML Server and SML Spy 4 Suite in an integrated, Web publishing environment," (Partner's Whitepaper, published on the Web as of June 8, 2002, downloaded pages 1-16.	
		Kuley, Provisional Application No. 60/209,713 filed 6/05/2000, entitled, "Methods and systems for accessing, organizing presenting and viewing data"	
		Microsoft Word 2000 (see Screen Shot "About Microsoft Word") Published 1993-1999 and Microsoft Excel 2000 (see Screen Shot "About Microsoft Excel") Published 1988-1999, Three pages	
		Moora, Provisional Application No. 60/191,662 filed 3/23/2000, entitled "Collection-based presistent digital archives"	

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language translation is attached. This collection of information is required by 37 CFR 1.96. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application forms to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.